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NOV 30 2009

Docket No.: 105773.0132  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent of:

Dante E. PICCONE

Original Patent No.: 5,614,737

Patent No.: RE36770

Original Issue Date: March 25, 1997

Reissued: July 11, 2000

Application No.: 09/273,567

For: MOS-CONTROLLED HIGH-POWER  
THYRISTOR

Filed: March 22, 1999

RESPONSE TO REQUEST FOR INFORMATION

Commissioner for Patents  
Mail Stop Petitions  
P.O. Box 1450  
Alexandria, VA 22313-1460

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OFFICE OF PETITIONS

Madam:

The present paper is filed in response to the Office Communication mailed September 30, 2009 (hereinafter, "Request for Information"), and in support of the Petition to Accept Unavoidably Delayed Maintenance Fee in an Expired Patent. For clarity, the following papers have been filed to reinstate the above-identified patent:

	DATE	ACTION
1.	9/25/08	Petition to Accept Unavoidably Delayed Maintenance Fee in an Expired Patent
2.	9/30/08	PTO Mailed Notice of Non-Acceptance of Maintenance Fee
3.	12/8/08	PTO Mailed its Decision on Petition
4.	2/9/09	Petition for Reconsideration with Statement from Andrew Yost
5.	2/18/09	Notice of Intent to Supplement Petition for Reconsideration
6.	4/20/09	Notice of Patent Expiration
7.	5/6/09	Supplemental Petition for Reconsideration with Statement by Rebecca South
8.	5/18/09	Notice of Intent to Supplement Petition for Reconsideration
9.	7/7/09	Second Supplemental Petition for Reconsideration with Statement by Peter Weissman
10.	9/30/09	PTO Mailed Request for Information

105773.00132/35969745v.1

The PTO requires the Petitioner to address the following points:

1. **Additional information regarding the Thomson Master Data Center's IP Master docketing software and its use in the industry and why it is a reliable system.**

In response to the PTO's request for information about IPMaster, a Statement by a Thomson Business Analyst, Ms. Stacey Nalepka, is enclosed herewith. As noted in that statement, IPMaster is the world's leading source of intelligent information for businesses. Thomson is a reputable and established company, with more than 50,000 employees in 93 countries. IPMaster has sophisticated tables which automatically calculate worldwide due dates in every jurisdiction. IPMaster provides the correct action due date, regardless of when an IP right was issued. Honeywell, a fortune 500 company with roughly 13,000 patents globally, is among the many users of IPMaster. (See Exhibit B to Statement.) Honeywell uses IPMaster for its docketing needs, in combination with a product called Aureka IP Analysis, which provides integration and interconnectivity across Honeywell's many locations. (See Exhibit B to Statement.)

Accordingly, IPMaster is accepted in the industry to docket patent deadlines which is made by a major reputable company. Those factors, together with the many features of IPMaster including its comprehensive tables — make IPMaster a reliable system. The Petitioner respectfully submits that the undersigned firm's use of IPMaster represented the exercise of due care for its most important business.

2. **Explain the process used to enter petitioner's data into the Thomson Master Data Center's IP Master docketing software, more specifically, what data integrity and error checks were used in the process.**

Initially, it is noted that the Request for Information does not acknowledge the Statement by Rebecca South filed May 6, 2009. Ms. South's Statement sets forth in detail the process used by the firm to enter data into IPMaster, including data integrity and error checks, during the period of 1994-2008. (See Ms. South's Statement, paragraphs 7-13.)

In general, once a patent issue date was assigned by the PTO, the issue date was input into IPMaster, which calculated the maintenance fee deadlines. In the Petitioner's case, however, the maintenance fee deadlines were (erroneously) entered by the firm's docketing supervisor, Ms. Linda Bynum-Cosby. (See Exhibit B to South Statement, having initials "LBC" above "Due Date.") As the first docketed deadline approached, the Maintenance Fee clerk sent a notice to the client that a maintenance fee was coming due. (See South Statement, ¶21.) The client's instructions were noted in IPMaster, and payment was made. (See South Statement, ¶21.) In preparation for payment of the maintenance fee, the Maintenance Fee clerk was responsible to review the file and resolve any anomalies, inconsistencies or other issues, before the due date was cleared from IPMaster. (See South Statement, ¶12.) At that point, the file would generally then be placed with docketing to confirm the action taken, and to update IPMaster to reflect that payment has been made. However, since the firm was between Maintenance Fee clerks at the time (See South Statement, ¶22.), the maintenance fee was paid by the firm's docketing supervisor, Ms. Bynum-Cosby, who was also responsible to update IPMaster.

3. **Explain, in detail, the tests conducted to verify the completeness and reliability of the data entered into the database and provide statements from employees who were involved with the data entry.**

The firm process (as stated above and in the Statement of Rebecca South), was put in place to ensure the completeness and reliability of the data entered into IPMaster. Ms. Bynum-Cosby was an employee with the firm as the Docketing Manager at the times in question. Unfortunately, despite several people of the present firm contacting Ms. Bynum-Cosby via telephone and e-mail, she has not been willing to submit a statement in support of the present petition, for reasons unrelated to the facts of this case. (See Weissman Statement.) However, Ms. Bynum-Cosby never contested any of the facts stated herein, which were contained in the draft statement which she reviewed. (See Weissman Statement, ¶7.) Consequently, no statement can be provided from the employee (Ms. Bynum-Cosby) who was involved with the data entry.

4. **Explain how the data entry was accomplished and how the error may have occurred.**

As best as can be determined, two clerical errors were committed. The first clerical error occurred in Nov. 2000, when the wrong dates were entered into IPMaster for the maintenance fee deadlines. (See Ms. South's Statement, ¶¶16-18.) That error was committed by Ms. Bynum-Cosby, whose initials "LBC" appear on the Issue Notification just above "Due Date." (Exhibit B to Ms. South's Statement.) It is likely that Ms. Bynum-Cosby did not think the maintenance fee deadlines should be measured from the date of the underlying '737 patent because the 3.5 year deadline (Sept. 2000) had already passed at that time the deadlines were entered into IPMaster (in Nov. 2000). **In addition, it should be recognized that Reissue and Reexamination proceedings are rather rare, and the PTO procedures are complicated and**

**different than for normal utility patents. Had this been a normal utility patent, and not a reissue patent, it is unlikely that any error would have occurred.**

The second clerical error occurred sometime prior to June 2004, when someone corrected the maintenance fee deadlines (pursuant to the firm's procedure to resolve anomalies when fees come due), but failed to notice that the 3.5 year maintenance fee had not been paid. (See Ms. South's Statement, ¶20.) The firm is unable to tell who corrected the maintenance fee deadlines, because IPMaster does not track that information and the other documents in the file do not identify that person. However, it is likely that the person concluded that IPMaster merely indicated that the wrong fee was due – *i.e.*, the 3.5 year fee, rather than the 7.5 year fee. It is important to note that the docketed date itself was correct (*i.e.*, Sept. 25, 2004). It was only the indication that the "3.5 year fee" (rather than the "7.5 year fee") was due, which was incorrect. Given such an unusual situation, it is certainly understandable that the person would not have recognized at that time, that the earlier fee had not been paid. In addition, the PTO confirmed receipt of the 7.5 year fee (see Exhibit 1 hereto, also attached as Exhibit E to South Statement), and the firm never received any notice from the PTO that the 7.5 year fee was not accepted. (See South Statement, ¶¶24, 26.)

5. **Affirmatively identify the cause of the error, which would include how the error occurred and who might be responsible for the error, and provide a first hand account of the circumstances relating thereto.**

As recited in response to item 4 above, Ms. Bynum-Cosby appears to have committed the first clerical error.

The second clerical error occurred sometime prior to June 2004, when someone (who cannot be identified based on the information) corrected the maintenance fee deadlines, but

failed to notice that the 3.5 year maintenance fee had not been paid. (See Ms. South's Statement, ¶20.)

Ms. Bynum-Cosby was the Docketing Supervisor at the times in question. However, Ms. Cosby has not been willing to submit a statement in support of the present petition, for reasons unrelated to the facts of this case. (See Weissman Statement.) Consequently, further details are not available to Petitioner at the present time.

6. **Address the failure to check with the USPTO to be sure the 3.5-year maintenance fee was timely received, and that the 7.5-year maintenance fee was accepted.**

The PTO states that it is reasonable to expect that the Petitioner might routinely check the status of the patent and that the maintenance fee was accepted by the PTO. The Petitioner respectfully submits that the standard for review is whether the steps which were taken were the same as a reasonable and prudent person. Though the Petitioner does not have any information from Ms. Bynum-Cosby (since she is unwilling to provide support in this matter for reasons unrelated to this petition), it seems extremely unlikely that the PTO's statement -- that the "petitioner thought it not reasonable or prudent to check with the USPTO to be sure the 3.5-year maintenance fee was timely received" -- would be true.

Rather, it probably just did not occur to that person to check on the status of the 3.5 year maintenance fee. In hindsight, the PTO may think it would have been reasonable to check on the status of the 3.5 year maintenance fee at that time. However, it is likely that the error was corrected sometime from March-September 2004, which is when reminders would be sent to the client for the improperly-docketed 3.5 year deadline. It is important to keep in mind that the docketed date (*i.e.*, Sept. 25, 2004) was correct. It was only the notation that it was for the 3.5 year fee, rather than the 7.5 year fee, which was incorrect. Thus, at the time the error was

discovered, it would have been natural to assume that the only error was the notation of which fee was due, especially since the date itself (Sept. 25, 2004) was correct.

The Request for Information further notes that Petitioner did not check to see if the 7.5 year maintenance fee was accepted. Based on information and belief, the 7.5 maintenance fee was paid by facsimile within the open period for the payment. Accordingly, there was no reason to expect that the payment would be denied, and therefore no reason to check to see if the payment was not accepted.

As noted in Ms. South's Statement (¶25):

The 7.5 year maintenance fee was timely paid with sufficient funds in the deposit account. Thus, in accordance with the firm's procedures, maintenance fee statements and deposit account activity for the subject patent was not monitored. It was believed that the Office accepted payment of the 7.5 year maintenance fee and that the patent remained in force. A letter dated August 27, 2004, and addressed to the patent owner acknowledged receipt of the instructions to pay the 7.5 year maintenance fee and indicated that the fee had been paid or would be paid by the due date. A copy of this letter is attached hereto as Exhibit F.

Given such an unusual situation (of an improperly docketed reissue patent), it is certainly understandable that the person would not have recognized at that time, that the earlier fee had not been paid. In addition, the PTO confirmed receipt of the 7.5 year fee (see Exhibit 1 hereto, also attached as Exhibit E to South Statement), and the firm never received any notice from the PTO that the 7.5 year fee was not accepted. (See South Statement, ¶¶24, 26.)

### Conclusion

The PTO questions how these actions, or inactions, represent the exercise of diligence and prudence. The Petitioner notes that it is not the particular actions and clerical errors which should be examined. The fact that the errors occurred are not disputed. It clearly was not the

firm procedure for Ms. Bynum-Cosby to manually enter the maintenance fee deadline dates, but rather to enter the date the patent issued. And, because the firm was between Maintenance Fee clerks at the time the 7.5 year fee was due, that added layer of backup was missing.

Rather, the proper focus should be on the practices which the firm had in place at the time which are to be examined. As stated in the PTO's Decision dated December 8, 2008, the petitioner must establish that the patent was treated as a reasonable and prudent person would treat his or her most important business. It is important to note that there are many reasonable ways of ensuring that maintenance fee deadlines are met. Because the PTO believes that one process is reasonable (such as checking the 3.5 year fee at the 7.5 year deadline), does not exclude the fact that other processes may also be reasonable.

In that regard, it is clear that the firm was prudent and diligent in protecting its most important business, for at least the following reasons (see Yost Statement, ¶¶5-14 and South Statement, ¶¶7-15):

- The firm had a docketing manager (Ms. Bynum-Cosby) in place who had over 6.5 years of docketing and supervisory experience, including 1.5 years with the firm, and an additional three years of experience as an IP specialist. It was therefore reasonable for the firm to rely on Ms. Bynum-Cosby to properly docket the maintenance fee deadlines, know when the fees are due, and be able to determine when the fees are due.
- The firm normally had an entire docketing team for entering deadlines into IPMaster, including a Maintenance Fee Clerk who processes all maintenance fee deadlines.



- The Maintenance Fee Clerk was responsible to resolve any anomalies and discrepancies prior to payment of a maintenance fee.
- The Maintenance Fee Clerk kept separate maintenance fee files to streamline and simplify the maintenance fee tracking and payment process.
- The firm had a reliable docketing system from a reputable company, and it docketed (though incorrectly) the maintenance fees in accordance with the firm's intake procedures, and that docketing system reliably reminded the Petitioner of the docketed deadlines.
- The firm paid the 7.5 year fee and received confirmation from the PTO that the fee was received.

It is further worthwhile noting that the present situation was a result of internal firm actions. The firm did not mishandle a PTO communication (that is, other than the Reissue patent itself) because the PTO apparently did not send any notice indicating a problem with the maintenance fees or expiration of the patent. The PTO did not intend for every clerical error to result in expiration of a patent, since it allows for a patent to be revived where the petitioner acts in accordance with a reasonable and prudent person. Thus, while it is impossible to account for all human error, it is respectfully submitted that the firm has put in place reasonable measures to protect its most important business. The firm implemented a reliable and trustworthy tracking system to keep track of the relevant dates, and took steps to ensure that the patent information was correctly entered into the docketing system, including the use of an experienced docketing manager.

**Request for Interview**

In the event the Office has any questions or is inclined to deny this Supplemental Petition for Rehearing, undersigned counsel requests an interview with the Petitions Attorney to identify any issues that the Office may consider to not be met by the present Response.

**Request for File**

The Petitioner further notes that it has attempted to obtain a copy of the file history at the PTO to see if any additional facts can be ascertained. However, the file history is not currently available because it is with the Petitions Office. In the event the PTO intends to deny the Petition, it is respectfully requested that it release the file so that the Petitioner can gain access to its contents, and that an additional response time be provided by which Petitioner can file another supplemental response.

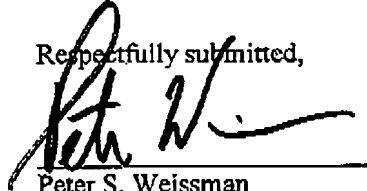
**Deposit Account**

The Request for Information indicates that no fee is due with the present response. The undersigned hereby reaffirms earlier authorization and request to the Office to charge any outstanding petition fees, maintenance fees, and surcharges to Deposit Account No. 23-2185 necessary to restore this patent to granted status. Authorization to charge the 11.5 year maintenance fee to Deposit Account No. 23-2185 was originally provided on September 25, 2008.

For the reasons set forth above, Petitioner respectfully requests reconsideration of the Decision on Petition.

Dated: November 30, 2009

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Peter S. Weissman", written over a horizontal line.

Peter S. Weissman  
Registration No. 40,220

**Blank Rome LLP**  
600 New Hampshire Ave., NW  
Washington, DC 20037  
(202) 772-5800

BLANK FORM

600 New Hampshire Ave., N.W., Washington, DC 20037  
Phone: 202.772.5800 • Fax: 202.572.8398

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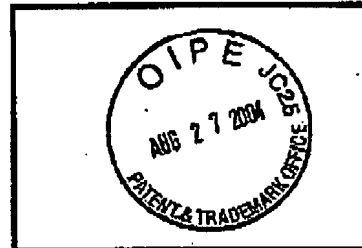
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OFFICE OF PETITIONS

August 27, 2004

THE OFFICIAL DATE STAMP HEREON BY THE U.S.  
PATENT AND TRADEMARK OFFICE WILL ACKNOWLEDGE  
RECEIPT OF THE FOLLOWING:

- Fee Address Form
- Maintenance Fee Transmittal (duplicate)



Patent Number	Grant Date	Application Number	Attorney Reference
5508167	3/4/1997	08/390980	000384.0046 ✓
6204396	3/20/2001	09/472596	110644.0101 ✓
6248502	6/19/2001	09/631975	000529.0007 ✓
6249700	6/19/2001	09/449444	001909.0052 ✓
RE36770	7/11/2000	09/273587	105773.0132 ✓

Patent Grant Application Attorney  
Number Date Number Reference

DO NOT WRITE IN THESE SPACES  
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001909.0052  
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Active File

Exhibit 1